Case 3:07-cv-02917-MJJ Document 1-4 Filed 06/05/2007 Page 1 of 26

### **EXHIBIT B**

### FORM 4

Form 5 obligations may continue. subject to Section 16. Form 4 or Check this box if no longer See Instruction 1(b).

Print or Type Responses)

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

hours per response . . . . . 0.5

Expires: September 30, 1998

Estimated average burden

3235-0287

OMB Number:

TOTAL STATE OF THE STATE OF THE

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

7. Individual or Joint/Group Filing (Check Applicable Line) (specify below) Indirect Beneficial 7. Nature of Form filed by More than One Reporting Person (Instr. 4) 10% Owner Owner-31529389 ship Relationship of Reporting Person(s) to Issuer (Check all applicable) Other X\_Form filed by One Reporting Person Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Instr. 4) ship Form: Direct (D) or Indirect Owner (give title below) Sr VP-Fin & Admin, CFO (Instr. 3 and 4) End of Month Beneficially Director Officer Amount of Securities Owned at PECENTEDY FINANCE Price 4. Securities Acquired (A) (₹) (£) (£) November 2001 or Disposed of (D) 2. Issuer Name and Ticker or Trading Symbol Date of Original (Month/Year) If Amendment (Instr. 3, 4 and 5) 4. Statement for Applied Micro Circuits Corp (AMCC) Month/Year Amount Number of Reporting 3. I.R.S. Identification > (Instr. 8) Person, if an entity action 3. Transg Š (Voluntary) 2. Trans-(Month/ Day/ Year) action Date (Middle) (Zip) PHONE: 858-535-3462 FAX: 858-535-3502 1. Name and Address of Reporting Person' (Street) (First) (State) 6290 Sequence Drive San Diego, CA. 92121 Bendush, William E 1. Title of Security (Instr. 3) (City)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over) Page 1 of 3 pages SEC 1474 (7-97)

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1. 1th-of Denvative Security (Instr. 3)	2. Conver- 3. Transsion or action Exercise Date Price of Month/vative Day/	3. Trans- action Date (Month/ Day/ Year)	4. Trans- action Code (Instr. 8)	8	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration D (Month/Day/Year)	Date Exer- cisable and Expiration Date (Month/Day/ Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price of Derivative Security	9. Number of derivative Securities Bene-fically	10. Owner- 11. Nature ship indirect Derive Beneficative cial Security: Owner- Direct ship	1. Nature of Indirect Benefi- cial Owner-
							Expira-		Amount or	5)	Owned at End of	(D) or Indirect	(Instr. 4)
			Code	(A)	ê	Exer- cisable	tion Date	Title	Number of Shares		Month (Instr. 4)	(Instr. 4)	
Non-Qualified Stock Option (right to buy)	\$14.62000 11/27/01	11/27/01	Q	Λ	85,000	(c)	07/11/11	07/11/11 Common Stock	85,000	9	0	a	
Non-Qualified Stock Option (right to buy)	\$53.87500	11/22/101	Α	>	125,000	£	12/21/10	12/21/10 Common Stock	125,000	8	0	a	
Non-Qualified Stock Option (right to buy)	\$70.43750	10/22/11	Q	>	300,000		03/08/10	03/08/10 Common Stock	300,000	€	0	Q	
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Explanation of Responses:													

(eg. puts, calls, warrants, options, convertible securities)

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Explanation of Responses:

See continuation page(s) for footnotes

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not

required to respond unless the form displays a currently valid OMB Number.

SEC 1474 (7-97) Page 2 of 3 pages

\*\*Signature of Reporting Person William Br

PHÓNE: 858-535-3462 FAX: 858-535-3502 San Diego, CA. 92121 6290 Sequence Drive

Mittelle aufeng 98 unt Mit malle.

- The option provided for vesting at 1/48 per month beginning on the date of grant.
- On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on July 11, 2001. In exchange, the reporting person will receive a replacement option on May 28, 2002. 33
- On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on December 21, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002.  $\widehat{\mathbb{C}}$ 
  - On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on March 8, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002. 3

Check this box if no longer subject to Section 16. Form 4 or

UNITED STATES SECURITIES AND EXCHANGE COMMISSION PROCESSING

OMB APPROVAL

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ROVAL	3235-0287	er 30, 1998 : burden			lssuer	10% Owner	Other (specify below)		c Applicable Line) n rting Person			7. Nature of Indirect Beneficial Owner-ship	(Instr. 4)					4	3147	2228	
OMB APPROVAL	OMB Number: 3235-0287	Expires: September 30, 19 Estimated average burden			ig Person(s) to I I applicable)			0	p Filing (Check Reporting Persor than One Repo	ially Owned	•	6. Owner- ship Form: Direct	Indirect (I) (Instr. 4)								
		<u> </u>	S/E	LAST WA	1	Director	A Officer (give title below) Senior VP of Finance and	Administration, and CFO	7. Individual or Joint/Group Filing (Check Applicable Line)  X Form filed by One Reporting Person Form filed by More than One Reporting Person	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned		5. Amount of Securities Beneficially Owned at End of Month	(Instr. 3 and 4)								
SSION		ERSH	of the Eblish	Act of 940	6 Re	•	Sen	Adı	7. Ind	quired, Dispo			Price								
GE COMMI		IAL OWN	, Section 17(a)	nent Company	loc	(AMCC)	L		nt, nal )	Securities Ac		iired (A) (D) 5)	(A) or (D)								
UNITED STATES SECURITIES AND EXCHANGE COMMISSION	D.C. 20549	OF CHANGES IN BENEFICIAL OWNERSHIP	inge Act of 1934	(f) of the Investn	2. Issuer Name and Ticker or Trading Symbol	Applied Micro Circuits Corp & MMC (AMCC)	4. Statement for Month/Year	July 2001	5. If Amendment, Date of Original (Month/Year)	n-Derivative		4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	Amount								
IES A	ngton,	ES IN	s Excha	tion 30(	Ticker	ircuits	on ting	<del>ر</del>		N-I		8	>								
CURIT	Washir	IANG	ecuritie	5 or Sec	une and	Micro C	entificati of Repor	(A)		Table		. Transaction action Code (Instr. 8)	Code								
IAIESSE		IT OF CH	16(a) of the S	ny Act of 193	2. Issuer Na	Applied !	3. I.R.S. Identification Number of Reporting	(Voluntary)	,			2. Trans- 3. action Date (Month/	Day/ Year)								
CONTEDS		STATEMENT	Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Multiplic Phility	Holding Compa			(Middle)		0.0	(diZ)											
		4 or					(First)	(10,10)	(Sueet) (FAX: 858-535-350)	(State)											
	すること	Check this box if no longer subject to Section 16. Form 4 or	Form 5 obligations may continue. See Instruction 1(b).	(Print or Type Responses)	1. Name and Address of Reporting Person*	Bendush, William E.	(Last) 6290 Sequence Drive	San Diego, Ch. 74141	(5000et) PHONE: 858-535-3462 FAX: 858-535-3502	(City)		1. Title of Security (Instr. 3)									

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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Page 1 of 3 pages SEC 1474 (7-97)

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

FORM 4 (continued)

(e.g. puts, calls, warrants, options, convertible securities)

			 ·	 ·,		<b></b>		
	(Instr. 4)							
	(D) or Indirect (I) (Instr. 4)	Q						
L .	Owned at End of Month (Instr. 4)	85,000						
8. Price of Derivative Security (Instr.	2)							
of tites	Amount or Number of Shares	85,000						
7. Title and Amount of Underlying Securities (Instr. 3 and 4)	Title	07/11/11 Common Stock						
Date y/	Expira- tion Date	07/11/11						
6. Date Exercisable and Expiration Da (Month/Day/Year)	Date Exer- cisable	9						_
of Deriv- urities (A) or of (D) 4, and 5)		(D)						
5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		(A) 85,000						
. 8)		> >						1
4. Trans- action Code (Instr. 8)		Code A						
3. Trans- action Date (Month/ Day/ Year)		\$14.62000 07/11/01						
2. Conver- 3. Transsion or action Exercise Date Price of Month/ vative Day/ Security Year)		- 1						
I. Title of Derivative Security (Irstr. 3)		Non-Qualified Stock Option (right to buy)						
F.E.		Non-						

Explanation of Responses:

See continuation page(s) for footnotes

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

\*\*Signature of Reporting Person

Page 2 of 3 pages

Option vests in 48 monthly installments beginning on July 11, 2001

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue.

See Instruction 1(b).

FORM 4

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	OMB Number: 32	3235-0287
ш	Expires: September 30, 1998	30, 1998
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-	hours per response.	0.5

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31334456 7. Individual or Joint/Group Filing (Check Applicable Line) (specify below) Nature of Beneficial Form filed by More than One Reporting Person (Instr. 4) Owner-10% Owner Indirect ship 6. Relationship of Reporting Person(s) to Issuer Other X\_Form filed by One Reporting Person Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Instr. 4) (Check all applicable) Indirect Owner-Direct ship Form: (D) or Ω 2 2001 (give title below) Senior VP of Finance and Administration, and CFO HISPEINED 15,779 (Instr. 3 and 4) End of Month Beneficially 450 Director 5. Amount of Officer Securities Owned at .... \$6.03125 \$80.0000 Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940 Price Applied Micro Circuits Corp & MMC (AMCC) (A) of (D) 4. Securities Acquired (A) Ω Date of Original (Month/Year) or Disposed of (D) 2. Issuer Name and Ticker or Trading Symbol If Amendment, (Instr. 3, 4 and 5) January 2001 4. Statement for 80,000 80,000 Month/Year Amount Number of Reporting 3. I.R.S. Identification > € Person, if an entity (Voluntary) (Instr. 3. Transaction Code Code Σ S 2. Trans-(Month/ action 01/18/0] 0/81/10 Date Day/ Year) (Middle) (Zip) 1. Name and Address of Reporting Person\* (Street) (State) (First) (Print or Type Responses) San Diego, CA. 92121 6290 Sequence Drive Bendush, William E. 1. Title of Security Common Stock Common Stock (Instr. 3) (Last) (City)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over) Page 1 of 3 pages SEC 1474 (7-97)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g. puts, calls, warrants, options, convertible securities)

3. Transaction action Date (Month/ Day/ Year)

Explanation of Responses:

See continuation page(s) for footnotes

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Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

William Some HSI

Page 2 of 3 pages

Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.  $\Xi$ 

Case 3:07-cv-02917-MJJ	Document 1-4	Filed 06/05/2007	Dago 11	of 26
Case 3:07-cv-02917-1910	Document 1-4	Filed Ub/U5/ZUU/	Page II	0L20

(Instr. 4)

(I) (Instr. 4)

(Instr. 3 and 4) End of Month Beneficially

15,779

\$6.03125

Beneficial Nature of

Form:

Direct (D) or Indirect

Indirect Owner-

6. Owner-

Amount of

Securities

Owned at

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned Ursuant to Section 16(a) of the Securities Exchange Act of 1934. Section 17(a) of helphis Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940 Price UNITED STATES SECURITIES AND EXCHANGE COMMISSION Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of 🛭 (A) P(D) 4. Securities Acquired (A) Applied Micro Circuits Corporation (AMCC) < or Disposed of (D) December 2000 Date of Original (Month/Year) 2. Issuer Name and Ticker or Trading Symbol 5. If Amendment. (Instr. 3, 4 and 5) 4. Statement for 15,779 Month/Year Washington, D.C. 20549 Amount Number of Reporting > 3. I.R.S. Identification (Instr. 8) Person, if an entity action 3. Trans-Code Code Σ (Voluntary) 2. Trans-(Month/ action 12/11/00 Date Day/ Year) (Middle) (Zip) 1. Name and Address of Reporting Person\* (Street) (First) (State) Form 5 obligations may continue. subject to Section 16. Form 4 or Check this box if no longer (Print or Type Responses) San Diego, CA. 92121 See Instruction 1(b). 6290 Sequence Drive Bendush, William E. Title of Security Common Stock (Instr. 3) (Last) (City)

7. Individual or Joint/Group Filing (Check Applicable Line)

X Form filed by One Reporting Person

Form filed by More than One Reporting Person

(specify below)

(give title below)

Vice President and CFO

Other

10% Owner

Reporting Person(s) to Issuer

(Check all applicable)

Diffector

Officer

. 0.5

3235-0287

OMB Number:

OMB APPROVAL

Expires: September 30, 1998

Estimated average burden

hours per response.

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over) Page 1 of 3 pages SEC 1474 (7-97)

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FORM 4 (continued)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g. puts, calls, warrants, options, convertible securities)

5. Number of Deriv- 6. Date Exer- 7. Title and Amount of ative Securities cisable and cisa	S) Owned at End of Amount or	V (A) (D) Exertion Title Number of Cisable Date Shares (Instr. 4)	15,779 64/20/09 Common Stock 15,779 50,517 D	V 125,000 (1) 12/21/10 Common Stock 125,000 D				
derlying Securities			non Stock	non Stock				
Date 7.			04/20/09 Сошш	12/21/10 Comm				
6. Date F cisable Expiral (Mont Year)	Date	Exer- cisable	6,	Ξ				
of Deriv- curities d (A) or d of (D) , 4, and 5)	i	Q)	15,77					
5. Number ative Se Acquire Dispose (Instr. 3.		(A)		125,000				
Trans- action Code (Instr. 8)				>				
4		Code	Σ	V 0				
3. Trans- action Date (Month/ Day/ Year)			12/11/00	12/21/0				
2. Conversion or Exercise Price of Derivative Security			\$6.03125	\$53.87500 12/21/00		·		
i. Title of Derivative Security (Instr. 3)			Incentive Stock Option (right to buy)	Non-Qualified Stock Option (right to buy)			·	

Explanation of Responses:

See continuation page(s) for footnotes

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Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

William St.

\*\*Signature of Reporting Person

Page 2 of 3 pages

Option vests in 48 monthly installments beginning on December 21, 2000.

 $\widehat{\Xi}$ 

Check this box if no longer RM 4

Form 5 obligations may continue. subject to Section 16. Form 4 or

(Print or Type Responses)

See Instruction 1(b).

(continued)

UNITED STATES SECURITIES AND EXCHANGE COMMISSION FACT

Expires: September 30, 1998

Estimated average burden

hours per response.

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OMB Number:

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7. Individual or Joint/Group Filing (Check Applicable Line) (specify below) Indirect Beneficial Nature of Form filed by More than One Reporting Person. (Instr. 4) 10% Owner 1256415 14. Rolationship of Reporting Person(s) to Issuer Other Form filed by One Reporting Person Table I · Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Check all applicable) Instr. 4) (D) or Indirect Owner-Direct ship Form: (give title below) (Instr. 3 and 4) End of Month Beneficially Director Amount of Officer Securities Owned at \$12.0625 \$185,7500 Price 4. Securities Acquired (A) Ö Applied Micro Circuits Corporation (AMCC) 30 ~  $\stackrel{\frown}{}$ or Disposed of (D) Date of Original (Month/Year) 2. Issuer Name and Ticker or Trading Symbol 5. If Amendment, (Instr. 3, 4 and 5) October 2000 4. Statement for 10,000 10,000 Month/Year Amount Number of Reporting > 3. I.R.S. Identification 8 Person, if an entity action (Instr. Trans-Code Code Z ø, (Voluntary) Transaction 10/19/00 10/19/00 (Month/ Date Day/ Year) (Middle) (diZ) 1. Name and Address of Reporting Person\* (Street (State) San Diego, CA. 92121 6290 Sequence Drive Bendush, William E. 1. Title of Security Common Stock Common Stock (Instr. 3) (City)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over) Page 3 of 5 pages SEC 1474 (7.97)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g. puts, calls, warrants, options, convertible securities)

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of Indirect of Indirect Beneficial Ownership	(Instr. 4)											
10. Owner- 111. Nature ship of Form of Indirect Denv- Benefitative cial Security: Owner- Direct ship of the ship o	(D) or Indirect (I)	(4084)										
1, ,	Owned at End of	Month (Instr. 4)										
8. Price of Derivative Security (Instr.	5)											
of ties	j j Amount or	Number of Shares										
7. Title and Amount of Underlying Securities (Instr. 3 and 4)		Tille										
6. Date Exercisable and Expiration Date (Month/Day/Year)	Expira-	• `										
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ative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		Q)										
5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		(A)										
Trans- action Code (Instr. 8)		Λ										,
7. 50 F		Code										
3. Trans- action Date (Month/ Day/ Year)										_		
2. Conver- 3. Trans- 4. Trans- sion or action Exercise Date Code Price of Month/ vative Day/ Security Year)								•				
1. Title of Derivative Security (Instr. 3)												

Explanation of Responses:

See continuation page(s) for footnotes

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Potential persons who are to respond to the collection of information contained in this form are not manny unlare the form disabove a currently valid OMB Number.

\*\*Signature of Reporting Person

Page 4 of 5 pages

Applied Micro Circuits Corporation (AM CC)

October 2000

San Diego, CA. 92121 Bendush, William E. 6290 Sequence Drive

Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.  $\in$ 

On October 30, 2000, the common stock of Applied Micro Circuits Corporation split 2-for-1. The reporting person's end of period holdings reflects this stock split, however, transactions reported for October reflect pre-split figures.

Case 3:07-cv-02917-MJJ Document 1-4 Filed 06/05/2007 Page 17 of 26

UNITED STATES SECURITIES AND EXCHANGE COMMISSION OF

## Washington, D.C. 20549

3235-0287

OMB Number:

OMB APPROVAL

Expires: September 30, 1998 Estimated average burden

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ATHE SHIP STATEMENT OF CHANGES IN BENEFICIAL OWNER

Form 5 obligations may continue. subject to Section 16. Form 4 or Check this box if no longer

(Print or Type Responses) See Instruction 1(b).

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934. Section 17(a) of the Pushin Utility

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	1 Name and Address of Reporting Person*	rting Person*		2. Issuer f	Jame and	Ticker G	2. Issuer Name and Ticker or Trading Symbol	Je.	thright of thright	6. polational Reporting Person(s) to Issuer (Check all applicable)	f Reporting Person(s) to Is (Check all applicable)	suer
	Bendush, William E.			Applied	Micro C	ircuits (	Applied Micro Circuits Corporation (AMCC)	ACC)		Director		10% Owner
	(Last)	(First)	(Middle)	3. I.R.S. Identification	Jentificati	uo	4. Statement for		<u> </u>	C Officer (Pive fille below)		Other
	6290 Sequence Drive			Numbe Person,	Number of Reporting Person, if an entity	rting ty	Month/Year			Vice President and CEO		pecally octored
<u> </u>		(Street)		(Voluntary)	ary)		October 2000		1100	resident and CFO		
	San Diego, CA, 92121						5. If Amendment, Date of Original (Month/Year)	ial t	7. Indiv	7. Individual or Joint/Group Filing (Check Applicable L. X. Form filed by One Reporting Person Form filed by More than One Reporting Person		(Check Applicable Line) Person : Reporting Person
Ľ.	(City)	(State)	(Zip)			] ;					-	0
					Table	0N - 1	n-Derivative S	ecurities A	cquired, Dispos	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	ally Owned	
	f. Tute of Security (Instr. 3)			2. Trans- action Date	3. Trans- action Code	4	Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	red (A) (C)		5. Amount of Securities Beneficially	6. Owner- ship Form:	7. Nature of Indirect Beneficial
				(Month/	(Instr. 8)					Owned at End of Month	Direct (D) or	Owner- ship
				Day/ Year)	Code	>	Amount	(A) or (D)	Price	(Instr. 3 and 4)	Indirect (1) (Instr. 4)	(Instr. 4)
ů.	Common Stock		-	10/16/00	Σ		5,000	<	\$12.0625		a	
్	Сопипон Stock			10/16/00	s:		5,000	a	\$185.0000		Q	
ِ کُ	Common Stock			10/1/01	M		5,000	<	\$12.0625		D	
్ర	Common Stock			00/91/01	s	-	5,000	Q	\$185.7500		Q	
Ce	Соппион Stock			10/16/00	M		5,000	V	\$12.0625		D	
[ ರೆ	Common Stock			10/16/00	S		5,000	Q	\$185.2500		q	3
ర్త్	Сопппон Stock			10/16/00	Z		5,000		\$12.0625		Q	258
Č	Common Stock			10/16/00	s		5,000	G	\$185.8750		D	947
ర్	Common Stock			10/16/00	Σ		10,000	<	\$12.0625		D	
<u>్</u>	Солиноп Stock			10/11/00	s s		10,000	C C	\$185.0000		Q	
!								-			-	

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over) Page 1 of 5 pages SEC 1474 (7-97)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g. puts, calls, warrants, options, convertible securities)

						·· <sub>*</sub> ·········	<del></del>	·	 <del></del>	·
l <del>_</del>	(Instr. 4)									
10. Owner- ship Form of Deriv- ative Security: Direct	(D) or Indirect (I) (Instr. 4)	D	D	a	Q	O	a			
- 1	Owned at End of Month (Instr. 4)						613,704			
8. Price of Of Derivative Security	5)									
,	Amount or Number of Shares	5,000	5,000	5,000	5,000	10,000	10,000			
7. Title and Amount of Underlying Securities (Instr. 3 and 4)	Title	Common Stock	04/20/09 Common Stock	04/20/09 Common Stock	04/20/09 Common Stock	04/20/09 Common Stock	04/20/09 Common Stock			
Datc y/	Expira- tion Datc	04/20/09	04/20/09	04/20/00	04/20/09	04/20/09	04/20/09			
6. Date Exer- cisable and Expiration Da (Month/Day/ Year)	Date Exer- cisable	ε	Ξ	(1)	(1)	(1)	(1)			
of Deriv- urities (A) or of (D) 4, and 5)	(Q)	2,000	5,000	5,000	5,000	10,000	10,000			
5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	€									
Trans- action Code (Instr. 8)	>									
4. Trans- action Code (Instr.	Code	×	M	×	M	M	Σ			
3. Trans- action Date (Month/ Day/ Year)		\$6.0313 10/16/00	10/16/00	\$6.0313 10/16/00	10/16/00	10/19/00	\$6.0313 10/19/00			
2. Conversion or Exercise Price of Derivative Security		\$6.0313	\$6.0313	\$6.0313	\$6.0313	\$6.0313	\$6.0313			-
(Instr. 3)		Non-Qualified Stock Option (right to buy)	Non-Qualified Stock Option (right to buy)	Non-Qualified Stock Option (right to buy)	Non-Qualified Stock Option (right to buy)	Non-Qualified Stock Option (right to buy)	Non-Qualified Stock Option (right to buy)			

Explanation of Responses:

See continuation page(s) for footnotes

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

\*\*Signature of Reporting Person

Page 2 of 5 pages

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION RECENED OMB AS Washington, D.C. 20549

Mours per response . . . . . 0.5 Explires: September 30, 1998 Estimated average burden

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STATEMENT OF CHANGES IN BENEFICIAL OW
S

Form 5 obligations may continue. subject to Section 16. Form 4 or Check this box if no longer

(Print or Type Responses) See Instruction 1(b).

**FORM 4** 

Mic Unigea Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1944 D Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the

	<u></u>	low)		c Line)		e of n cial	(4									
Issuer	10% Owner	Other (specify below)		k Applicable	0	7. Nature of Indirect Beneficial Owner-	ship (Instr. 4)						312 <sup>.</sup>	1335	) 1	 
g Person(s) to applicable)				Filing (Chec eporting Personant	ally Owned	6. Owner- ship Form: Direct	(D) or Indirect (I) (Instr. 4)	a	a	a	D					
6. Rehaionship of Reporting Person(s) to Issuer (Check all applicable)	Director	<ul><li>Officer</li><li>(give title below)</li></ul>	Vice President and CFO	7. Individual or Joint/Group Filing (Check Applicable Line)  X. Form filed by One Reporting Person Form filed by More than One Reporting Person	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	5. Amount of Securities Beneficially Owned at	End of Month (Instr. 3 and 4)				0					
6. Ref		<b>1</b>	Vice	7. Indi	cquired, Dispo		Price	\$12.06250	\$199.00000	\$12.06250	\$199.12500					
10	Applied Micro Circuits Corporation (AMCC)			t, al	ecurities A	red (A)	(A) or (D)	V	a	<b>₹</b>	a					
2. Issuer Name and Ticker or Trading Symbol		4. Statement for Month/Year	August 2000	5. If Amendment, Date of Original (Month/Year)	I on-Derivative S	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	Amount	10,000	10,000	10,000	10,000					
d Ticker	Circuits	tion orting	tity		le I - Ne	8	>									
Name an	1 Micro	I.R.S. Identification Number of Reporting	Person, if an entity (Voluntary)	( <del>( ( ) )</del>	Tab	3. Trans- action Code (Instr. 8)	Code	Σ	s	Σ	S					
2. Issuer	Applied	3. I.R.S. I Numbe	Person, if ar	in io A		2. Trans- action Date	(Month/ Day/ Year)	08/31/00	08/31/00	08/31/00	08/31/00					
		(Middle)			(Zip)							~				
porting Person*		(First)		(Street)	(State)											
1. Name and Address of Reporting Person*	Bendush, William E.	(Last)	6290 Sequence Drive	San Diene, CA 02121	(City)	1. Title of Security (Instr. 3)		Common Stock	Common Stock	Common Stock	Common Stock					

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Page 1 of 3 pages SEC 1474 (7-97) (Over)

FORM 4 (continued)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g. puts, calls, warrants, options, convertible securities)

11. Nature of Indirect Beneficial Ownership	(Instr. 4)								
ship of Form of Porrive Beneficative Cial Security: Owner-	(D) or Indirect (I) (Instr. 4)		Ω	Q					
<u>.</u>	Owned at End of Month	(1.11011)		346,852			E		
8. Price of Derivative Security (Instr.	5)								
ities	Amount or Number of	Shares	10,000	10,000					
7. Title and Amount of Underlying Securities (Instr. 3 and 4)	Title		04/20/09   Common Stock	04/20/09 Common Stock					
Date Exercisable and Expiration Date (Month/Day/Year)	Expira- tion	Date	04/20/09	04/20/09					
6. Date Exercisable and Expiration Da (Month/Day/Year)	Date Exer-	cisable	(1)	(1)					
Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		(D)	10,000	10,000					
5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		(A)							
Trans- action Code (Instr. 8)		>							
4. Transaction action Code (Instr.		Code	E	Σ					
3. Trans- action Date (Month/ Day/ Year)		00/10/00/00/00/00/00/00/00/00/00/00/00/0	00/27/00	08/31/00					
2. Conversion or Exercise Price of Derivative Security		612 06250	00700.710	\$12.06250				-	
1. Title of Derivative Security (Instr. 3)		Non-Onalified Stock Ontion tright to	buy)	Non-Qualified Stock Option (right to buy)					

Explanation of Responses:

See continuation page(s) for footnotes

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

\*\*Signature of Reporting Person

SEC 1474 (7-97) Page 2 of 3 pages

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

3235-0287

OMB Number:

OMB APPROVAL

PROCESSING

4 M C C L			Vashingt	on, D.C. 20549	•		Q Q	OMB Number:	3235-0287
	STATEMEN	т оғ сн	ANGES	IN BENEFIC	IAL OWN	ERS H	MOLDS	Expires: Septorestimated aver hours per resp	Expires: September 30, 1998 Estimated average burden
Form 5 obligations may continue.  See Instruction 1(b). (Print or Type Responses)	Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Act of Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1936	16(a) of the S ny Act of 193;	ecurities E	xchange Act of 1934 130(f) of the Investm	Section 17(a)	of the Publication	Glity of C		
1. Name and Address of Reporting Person*		2. Issuer Na	me and Tic	ker or Trading Symb	ol	To How	Michighip of Rep	6-Relationship of Reporting Person(s) to Issuer	to Issuer
Bendush, William E.		Applied N	ficro Circ	Applied Micro Circuits Corporation (AMCC)	MCC)		Director	ch an applicable	, 10% Owner
(Last) (First)	(Middle)	3. I.R.S. Identification	I.R.S. Identification	4. Statement for Month/Year			<ul><li>X Officer</li><li>(give title below)</li></ul>		<ul><li>Other (specify below)</li></ul>
6290 Sequence Drive		Person, if	Person, if an entity			Vice	Vice President and CFO	CFO	
(Street)		(Voluntary)	2	5. If Amendment,	lt,	7. Indi	vidual or Joint	Group Filing (C	7. Individual or Joint/Group Filing (Check Applicable Line)
San Diego, CA. 92121		وخرر سندست		(Month/Year)	<b>a</b> _	<b>√</b>	Form filed by C	A Form filed by One Reporting Person Form filed by More than One Report	Form filed by One Reporting Person Form filed by More than One Reporting Person
(City) (State)	(Zip)		Table I	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	ecurities Ac	quired, Dispo	sed of, or Ben	eficially Own	pa
1. Title of Security (Instr. 3)		2. Trans- 3. action Date	3. Trans- action Code	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	ired (A) D)		5. Amount of Securities Beneficially	6. Owner- ship Form:	7. Nature of Indirect Beneficial
		(Month/	(Instr. 8)				Owned at End of Month	Direct	Owner- shin
		L	Code V	Amount	(A) or (D)	Price	(Instr. 3 and 4)		
Common Stock		00//11//00	M	25,000	V	\$12.06250		<u>a</u>	
Common Stock		00//17/00	S	25,000	Q	\$156.00000		a	
Common Stock		00//1//00	Æ	15,000	V	\$12.06250		Q	
Common Stock		00//1//00	s	15,000	a	\$156.62500		0 D	
									31
									186
									284
						-			

Page 1 of 3 pages SEC 1474 (7-97) Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g. puts, calls, warrants, options, convertible securities)

			1 0 1			•								
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans- action Date (Month/ Day/ Year)	4. Transaction action Code (Instr. 8)	(8	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		6. Date Exercisable and Expiration D (Month/Day/Year)	Datc y/	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	ities	8. Price of Derivative Sccurity (Instr.	9. Number of derivative Securities Beneficially		of Indirect Beneficial Ownership
						. ,	Date	Expira-		Amount or	5)	Owned at End of	(D) or Indirect (I)	(Instr. 4)
			Code	>	(A)	(Q)		tion Date	Title	Number of Shares		Month (Instr. 4)	(Instr. 4)	
Non-Qualified Stock Option (right to buy)	\$12.06250	04/11/00	×			25,000	Œ	04/20/09	04/20/09 Common Stock	25,000			۵	
Non-Qualified Stock Option (right to buy)	\$12.06250 07/17/00	00/11//00	Σ			15,000	(1)	04/20/09	04/20/09 Common Stock	15,000		366,852	a	
							_							
			<u></u>											
Explanation of Demonder.														

Explanation of Responses:

See continuation page(s) for footnotes

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copics of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

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\*\*Signature of Reporting Person

Page 2 of 3 pages

Bendush, William E. 6290 Sequence Drive San Diego, CA. 92121

Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

Case 3:07-cv-02917-MJJ Document 1-4 Filed 06/05/2007 Page 25 of 26

### FORM 4

Form 5 obligations may continue.

See Instruction 1(b). -

(Print or Type Responses)

subject to Section 16. Form 4 or Check this box if no longer

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

## Washington, D.C. 20549

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

hours per response . . . . . 0.5

Expires: September 30, 1998

OMB Number:

OMB APPROVAL

Estimated average burden

Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

7. Individual or Joint/Group Filing (Check Applicable Line) (specify below) Beneficial Nature of Form filed by More than One Reporting Person (Instr. 4) Owner-Indirect 10% Owner ship Relationship of Reporting Person(s) to Issuer (Check all applicable) Other X\_Form filed by One Reporting Person Fable I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Instr. 4) Indirect Owner-(D) or Form: Direct ship a 9 Ω (give title below) Vice President and CFO 0 (Instr. 3 and 4) End of Month Beneficially Director 5. Amount of Officer Securities Owned at X \$12.06250 \$100.00000 \$12.06250 \$121.00000 Price 4. Securities Acquired (A) or Disposed of (D) (A) of (D) Applied Micro Circuits Corporation (AMCC) ⋖ Ω ⋖ Ω Date of Original (Month/Year) 2. Issuer Name and Ticker or Trading Symbol If Amendment, (Instr. 3, 4 and 5) 4. Statement for 20,000 20,000 40,000 40,000 Month/Year April 2000 Amount Number of Reporting 3. I.R.S. Identification > (Instr. 8) Person, if an entity action Trans-Code Code Σ S Σ S (Voluntary) 2. Transaction (Month/ 04/25/00 04/28/00 04/25/00 04/28/00 Date Day/ Year) (Middle) (Zip) Name and Address of Reporting Person\* RECEIVED (Street) (State) (First) San Diego, CA. 92121 6290 Sequence Drive Bendush, William E. 1. Title of Security Common Stock Common Stock Common Stock Common Stock (Instr. 3) (City) (Last)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. \*If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

RECD & E.C.

(Over) SEC 1474 (7-97)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g. puts, calls, warrants, options, convertible securities)

						:			
11. Nature of Indirect Beneficial Ownership	(Instr. 4)								
	(D) or Indirect (I)	(tresm)	Q	α	D				
4.1	Owned at End of	(Instr. 4)		406,852	150,000				
8. Price of of Derivative Security	<u>ئ</u>								
σ.	Amount or	Number of Shares	40,000	20,000	150,000				
7. Title and Amount of Underlying Securities (Instr. 3 and 4)		Tide	04/20/09 Common Stock	04/20/09 Common Stock	03/08/10 Common Stock				
Date y/	Expira-	tion Date	04/20/09	04/20/09	03/08/10				
6. Date Exercisable and Expiration D (Month/Day/Year)	Date	Exer- cisable							
of Derivurities (A) or lof (D) 4, and 5)		(Q)	40,000	20,000					
5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		(A)			150,000				
Trans- action Code (Instr. 8)		>			Λ				
4. Transaction action Code (Instr.		Code	Σ	M	Y				
3. Trans- action Date (Month/ Day/ Year)			04/25/00	04/28/00	00/80/£0	1			
2. Conver- 3. Transsion or action Exercise Price of Derivative Day Security Year)			\$12.06250	\$12.06250	\$140.87500				
1. Title of Derivative Security (Instr. 3)			Non-Qualified Stock Option (right to buy)	Non-Qualified Stock Option (right to buy)	Non-Qualified Stock Option (right to \$140.87500 buy)				

Explanation of Responses:

Willen Son \*\*Signature of Reporting Person

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient,

see Instruction 6 for procedure.

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